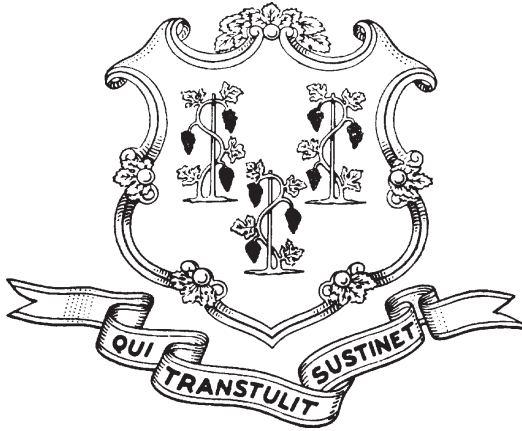


THE STATE OF CONNECTICUT



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M. JODI RELL
GOVERNOR

STATE OF CONNECTICUT
EXECUTIVE CHAMBERS
HARTFORD, CONNECTICUT

February 2009

Dear Executive Appointee:

Welcome and congratulations on your appointment to state service. I deeply believe that public service is a noble and necessary cause, and I want you to know how proud I am to work side by side with you and your colleagues to make state government even more responsive to the needs of our citizens.

Your appointment is one of trust, and most important, one of responsibility to the people of Connecticut. As a leader in state government you will be held to the highest ethical standards, because public service deserves no less.

I hope you will find the *Handbook for Appointed Officials* a useful reference source. It highlights the important aspects about working in the executive branch of state government and has been updated to provide you with the most recent information about work policies and regulations, ethics, and benefits regarding your appointment.

Again, welcome to state service. Let us work together to create the Connecticut that is yet to be.

Sincerely,

A handwritten signature in black ink that reads "M. Jodi Rell".

M. Jodi Rell
Governor

Terms of Appointment

Except as otherwise provided by statute, appointed officials serve at the request of the Governor in accordance with the provisions of Conn. Gen. Statutes Section 4-6, and any other relevant statute. In general, agency heads serve a four-year term which ends no later than the tenth day of March in the final year of their terms, unless re-appointed. Unless otherwise provided by state law, appointments must be approved by at least one house of the General Assembly. Deputy agency heads do not have a special term of office and serve at the request of their agency heads. For your convenience, definitions for some of the terms used in this handbook may be found on pages 14 - 15.

Work Hours

Appointed officials must be full-time employees working a minimum of 40 hours per week, unless otherwise noted in statutes or written authorization from the Department of Administrative Services. Appointed officials attend required evening and weekend meetings and represent the State of Connecticut and the employing agency whenever needed. If an appointed official is to be absent from work, vacation, personal, or sick leave time must be used to cover the absence. Appointed officials do not receive compensatory time.

Absences

Appointed officials serving as a Commissioner or other title serving in the capacity of an agency head must provide the Governor's Office with as much notice as is practical prior to the absence.

Appointed officials serving as a Deputy Commissioner or in a similar capacity must provide the agency head with as much notice as is practical prior to the absence.

All absences must be recorded in the attendance record for the appointed official. If an appointed official is to be absent from work, vacation, personal leave or sick time must be charged to cover the absence. If no such paid leave time exists, the agency must record the absence as unpaid leave.

The Governor's Office must receive from appointed officials the following information when the appointed official expects to be out of state:

- Dates of absence
- Contact information including phone numbers (cell phone and other) and location
- Individual designated to act in the absence of the appointed official

Ethics

Officials are required to file with the Office of State Ethics a statement of financial interest from the preceding calendar year.

Statement of Financial Interest:

<http://www.ct.gov/ethics/cwp/view.asp?a=2309&Q=301636ðicsNav=/>

This report is due by May 1 of each year while you are an appointed official. If you leave your position, you still must file a statement of financial interest covering that portion of the year during which your position was held. Officials should also be familiar with other restrictions and laws regarding conflicts of interest, post-employment activities, and receiving gifts. Contact the Governor's Counsel or the Office of State Ethics if you have any questions regarding the Guide to the Code of Ethics for Public Officials.

Guide to the Code of Ethics for Public Officials:

http://www.ct.gov/ethics/lib/ethics/guides/public_officials_guide_07_final.pdf

C.G.S. Section 1-90 - Code of Ethics for Public Officials :

<http://www.ct.gov/ethics/cwp/view.asp?a=2313&q=315268>

In addition, you should acquaint yourself with all relevant statutes regarding political activities in which you may engage as an employee of your agency. Specifically, please review Conn. Gen. Statutes Section 5-266a, et. al., and the federal Hatch Act's provisions for agencies receiving federal funds and its prohibition of non-coercive solicitation of political contributions. Specific guidance can be provided by the Office of the Attorney General, the Auditors of Public Accounts, and the Department of Administrative Services.

General Letter 214-D - Political Activity:

<http://www.das.state.ct.us/HR/om/GL214D.pdf>

Office Staff and Equipment

Appointed officials' staff, equipment, supplies, postage, etc., should only be used for state business and tasks directly related to the state business in which that official is engaged.

<http://www.ct.gov/doit/cwp/view.asp?a=1245&Q=314686>

Telephone Use

Use of state telephone calling cards is guided by the Acceptable Use of State Systems Policy:

<http://www.ct.gov/doit/cwp/view.asp?a=1245&Q=314686>

Policy on Security for Mobile Computing and Storage Devices:

<http://www.ct.gov/doit/cwp/view.asp?a=1245&q=394672>

Your state-issued telephone billing card, office phone or cellular telephone, are for business calls regarding state business. Your agency receives a bill for all your state calls, and your signature on the bill verifies that each call conforms to this billing policy. Calls are kept in a computerized billing format and are available to the public upon request.

Compensation

Appointed officials serving in the capacity of an agency head or deputy agency head are paid in accordance with an approved pay plan and usually in line with the Executive (or “EX”) pay plan. Human Resources staff will advise the appointed official of the assigned pay plan, salary group and compensation rate upon hire. The EX pay plan is available via the Department of Administrative Services website: http://www.das.state.ct.us/HR/CompPlans/Cmp_Cur_list_doc.asp

Appointed officials receive a bi-weekly paycheck; the first check is issued about four weeks after the hire date. It represents salary earned during the first two weeks of employment. There is always a two-week retainer of salary until employment concludes with the state.

Vacation

Appointed officials may use vacation leave after six months of continuous service with the State of Connecticut (in accordance with C.G.S. Section 5-250 and Personnel Regulations 5-250-1). The state determines vacation leave by counting the years of state employment and active military service in time of war as defined in C.G.S. Section 27-103.

Annual vacation leave beyond 15 days is awarded each January 1st for the coming year. This means the appointed official is entitled to one additional vacation day beginning with January 1 of the year s/he will obtain 11 years of creditable service for the purpose of vacation accrual.

Service Time	Accrual Rate
0-10 years	15 days
11 years	16 days
12 years	17 days
13 years	18 days
14 years	19 days
15+years	20 days

Appointed officials accrue vacation leave at 1.25 days for each month worked and can accumulate a maximum of 120 vacation days. In accordance with Management Personnel Policy 88-2, no vacation leave shall accrue for any calendar month in which an employee is on leave of absence without pay for an aggregate of more than five (5) working days. The state pays for unused vacation time upon retirement, resignation, or death while employed by the state.

Personal Leave

Appointed officials receive annually on January 1, three personal leave (PL) days (in accordance with C.G.S. Section 5-250 and Section 5-250-8 of the Personnel Regulations). Unused PL days cannot be carried over to the next calendar year. PL may only be used after permanent status has been attained. In accor-

dance with C.G.S. Section 5-196, appointed officials attain permanent status after completion of six months of continuous state employment.

Holidays

There are 12 paid holidays each year. They are: New Year's Day, Martin Luther King Day, Lincoln's Birthday, Washington's Birthday, Good Friday, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans' Day, Thanksgiving Day, and Christmas Day. If the holiday falls on a Saturday, it is observed on the preceding Friday. If the holiday falls on a Sunday, it is observed on the Monday immediately following. Washington's Birthday, Memorial Day, and Columbus Day are all celebrated on Mondays. The holiday schedule for the upcoming year becomes available each March.

Observance of Holidays:

http://www.das.state.ct.us/HR/om/om_holiday_doc.asp

Family and Medical Leave Act (FMLA)

Legislation passed at both federal and state levels provides eligible employees with job-protected leave for certain family and medical reasons. The federal Family and Medical Leave Act (FMLA) was enacted by Congress in 1993. Connecticut's statute governing family and medical leaves for public sector employees (C.G.S. Section 5-248a) was enacted in 1988.

Sick Leave

Sick leave (in accordance with C.G.S. Section 5-247) may be used for illness, medical and dental appointments, and for special situations that are described below. Appointed officials accrue sick leave at the rate of 1.25 days for each completed calendar month worked; 15 sick leave days each year. Sick leave may be used as it accrues from the date of appointment. An unlimited number of sick leave hours can be saved and carried into subsequent years. Upon retirement, the state will pay for some accumulated sick days. State law allows only 25-percent payment of daily salary for each unused sick day up to a maximum of 60 days. If an appointed official has worked at least ten years for the state and dies while in state service, the beneficiary can request payment for sick leave days and the same calculation is used.

Special Sick Leave

In addition to an appointed official's personal illness or injury, sick leave may also be used for the following reasons:

- *Medical Appointment:* Medical, dental, or eye examination or treatment for the appointed official.

- *Sick Family*: Critical illness or severe injury to a member of the immediate family creating an emergency. A maximum of five days each calendar year may be used for this purpose.
- *Family Death*: The death of a member of your immediate family. Immediate family is defined as spouse, child, father, mother, sister, brother, or any relative who is domiciled in the appointed official's household. A maximum of five sick leave days per event may be used for this purpose.
- *Funeral Leave*: To attend funerals of persons other than members of the appointed official's immediate family, a maximum of three sick leave days each calendar year may be used for this purpose.

Donation of Leave Time

Item No. 9023-E (effective January 23, 2001) authorizes employees who are either executives assigned to the EX compensation plan or gubernatorial appointees assigned to the MP compensation plan to donate vacation and personal leave accruals to other employees who are either executive employees assigned to the EX compensation plan or gubernatorial appointees assigned to the MP compensation plan who are absent as a result of a long-term illness or injury. Specific criteria are outlined in Item No. 9023-E and must be met in order for the donation to be allowed.

Click here to view Item No. 9023-E in its entirety:

http://www.das.state.ct.us/HR/om/EQ_items_display.asp?F_Type=E&F_E_ID=31

Payroll Deposits and Deductions

Appointed officials can join the State Employee Credit Union, Inc. which offers state employees a variety of savings and loan options. Payroll deductions may be authorized for savings accounts or loan payments. The state also offers direct deposit of payroll checks, sponsors payroll deductions for buying savings bonds and contributions to the CT State Employees' Campaign for Charitable Giving. Agency Human Resources Administrators and the Office of the State Comptroller website may provide additional information regarding payroll deductions.

CT State Employees' Campaign for Charitable Giving:

<http://www.csec.ct.gov/default.htm>

Direct Deposit form:

You must obtain the Form CO-1040 from your Payroll Office.

Buy savings bonds:

<http://www.osc.state.ct.us/empret/supplemental/index.html>

Retirement

The State offers several retirement plans. The specific plan is determined by the appointed official's date of hire. Information about these plans is available online.

Retirement Plans:

Tier 2A (hired on or after 7/1/1997):

<http://www.osc.state.ct.us/empret/tier2asumm/index.html>

Tier 2 (hired 7/1/1984 through 6/30/1997):

<http://www.osc.state.ct.us/empret/tier2summ/index.html>

Tier 1 (hired on or before July 1, 1984):

<http://www.osc.state.ct.us/empret/tier1summ/index.html>

Deferred Compensation Program

The purpose of a Deferred Compensation plan is to enable eligible employees covered under the plan to enhance their retirement security by permitting them to enter agreements with the state to defer a portion of their compensation. After retirement, this income may be taxed at a lower rate. Contributions are made through payroll deduction to the maximum allowable amount as determined by the federal government. Participation in this plan shall not be construed to establish or create an employment contract between any eligible employee and the state.

Deferred Compensation Program:

http://www.osc.state.ct.us/empret/defcomp/plan/PlanDocument_Final11282006.pdf

Group Health and Dental Insurance

The state offers its employees group health and dental insurance coverages. Insurance coverages become effective the first day of the month after a full month of state employment. Example: State employment begins on a date in January. Group health and dental insurance coverage becomes effective March 1st.

There are a number of plan options and the cost depends upon the plan selected and options for dependents. Plan information and benefits should be reviewed carefully before a selection in coverage is made. Appointed officials choose health and dental coverage upon appointment and have an option to change plans during open enrollment. Open enrollment occurs annually, usually in May. Agency Human Resources Administrators have more information about coverages and costs.

Group Health and Dental Plans:

<http://www.osc.state.ct.us/empret/healthin/2006hcplan/employees.htm>

Group Life Insurance

Permanent appointed officials may choose to be insured for the basic life insurance plan upon completion of six months of continuous service or one thousand and forty-four (1,044) hours of work, whichever is greater, provided a signed enrollment card is on file in the Employee Benefits Unit of the Office of the State Comptroller. However, in the event that an appointed official is both disabled from a non-occupational illness or injury and away from work on the date s/he would otherwise become insured, the effective date of the insurance will be deferred until s/he returns to an active work schedule for one full day.

In addition to the basic life insurance plan, an appointed official may be entitled to supplemental life insurance benefits. Eligibility for such insurance requires participation in the basic life insurance plan and yearly gross compensation of \$45,500 or more as an employee exempt from collective bargaining.

An eligible appointed official will be entitled to participate in the supplemental life insurance plan on the date the basic life insurance becomes effective or on either April 1 or October 1, whichever first follows the date of eligibility, provided application is made for such insurance and a signed enrollment card is on file in the Employee Benefits Unit of the Office of the State Comptroller. However, in the event the employee is away from work on the date the employee would have become insured, the effective date of the supplemental life insurance will be deferred until the employee returns to an active work schedule for one full day.

Increases in the amounts of supplemental insurance for an appointed official may be made upon their request, effective April 1 or October 1 of a calendar year, provided the additional premium payment has been deducted from the employee's pay.

Group Life Insurance:

<http://www.osc.state.ct.us/empret/grouplife/plandoc.htm#elig>

Miscellaneous Insurance

Through payroll deductions, appointed officials can buy insurances such as short-term disability, long-term disability, auto, home, cancer, universal life and long-term care insurance. The cost of these policies are not however, co-paid by the state. Check with your Human Resources Administrator for further information or visit the Office of the State Comptroller website:

<http://www.osc.state.ct.us/empret/supplemental/index.html>

Use of State Vehicles

Home-to-office use of a state vehicle is permitted for approved agency heads and their appointed deputies, and certain other appointed officials. The state vehicle should not be driven by family members or friends, but may be used for transportation of immediate family members to a state work related function, local school,

or day care service. The vehicle may be used to transport other state employees to or from their place of employment if such travel is within the normal route of the official's home-to-office travel. It is also permissible to use the vehicle for driving to lunch on workdays and incidental personal stops during the course of travel are likewise permitted. However, this does not include politically-sponsored events. The vehicle's main purpose is for state business.

A complete policy and procedure guide is provided when the vehicle is assigned, or you may obtain one from the Director of Fleet Operations at the Department of Administrative Services. Refer to General Letter 115:

<http://www.das.state.ct.us/HR/om/GL115.pdf>

Mileage Reports

Appointed officials are required to complete the "State Owned Motor Vehicle Monthly Usage Report." The Department of Administrative Services has implemented a program for select officials to report their state vehicle usage online. Questions regarding this procedure should be directed to the Department of Administrative Services - Fleet Operations at (860) 713-5160.

Federal Tax Implications to Vehicle Usage

Federal law provides that when a state employee uses a state vehicle to commute to and from work or for personal business, certain tax consequences may result. The Internal Revenue Service views the personal use as a taxable benefit and has established guidelines on how to determine the value of the benefit.

Information concerning the calculation of the taxable benefit and other relevant topics are addressed in Office of the State Comptroller Memorandum No. 2007-02:

<http://www.osc.state.ct.us/2007memos/numbered/200702.htm>

Financial Responsibility

The monetary value of using a state vehicle for home-to-office travel is subject to federal income tax requirements. Per Federal Public Law No. 90-44, effective January 1, 1986, overnight parking of a state vehicle at an employee's home for more than one night per month may be classified as fringe benefit taxable income and reported to the Internal Revenue Service. Refer to the Office of the State Comptroller Memorandum No. 2007-02:

<http://www.osc.state.ct.us/2007memos/numbered/200702.htm>

Travel Reimbursements

The state will reimburse appointed officials for lodging, meals, mileage and other expenses essential to transacting official business. However, no entertainment expenses will be reimbursed, and virtually no meal expenses are reimbursed if they occur during the usual business day.

For further information about reimbursements, see General Letter 212 (revised 1998):

<http://www.das.state.ct.us/HR/om/gl212.htm>

To review State Travel Regulations:

http://www.das.state.ct.us/HR/Regs/reg_5-141_State%20Reimbursement%20Regs.pdf

Statutes of Interest

A number of laws govern the activities of appointed officials. Please review the laws that apply to all appointed officials and those that are specific to your agency.

This information should be helpful as a resource regarding the general rules of behavior and duties of appointed officials. Each agency may have guidelines that address these issues in more detail. Additionally, the Department of Administrative Services website contains many policies that establish statewide standards and may be consulted for this purpose:

http://www.das.state.ct.us/HR/HR_Managers.asp

The following regulations and laws also should be familiar to you. If you have any questions regarding this material or other matters, consult with your Human Resources Administrator or the appropriate state agency.

The laws of note are:

- Public Records: General Provisions - Conn. Gen. Statutes Chap. 3, Section 1-7 through 1-21 (1)
- Freedom of Information - Conn. Gen. Statutes Chap. 14, inclusive
- Annual Report to the Governor - Conn. Gen. Statutes Chap. 48, Section 4-60
- State Ethics Code (including prescribed activities) - Conn. Gen. Statutes Chap. 10:
<http://www.ct.gov/ethics/cwp/view.asp?a=2313&q=315268>
- State Ethics Guide to the Code of Ethics for Public Officials and State Employees:
http://www.ct.gov/ethics/lib/ethics/guides/public_officials_guide_07_final.pdf
- The General Assembly - Conn. Gen. Statutes Chap. 16

- Auditor of Public Accounts - Conn. Gen. Statutes Chap. 23, Section 2-89 through 2-92
- Whistleblower - Conn. Gen. Statutes, Chap. 48, Section 4-61dd
- Irregular Handling of State Funds - Conn. Gen. Statutes, Chap. 47, Section 4-33a
- Attorney General - Conn. Gen. Statutes Chap. 35, Section 3-124 through 3-131
- Indemnification of Commissioners - Conn. Gen. Statutes Chap. 46, Section 4-16a; State Appointive Officials, Section 4-1 through 4-8
- Elections: Illegal Practices. Conn. Gen. Statutes Section 9-622.
<http://www.cga.ct.gov/2007/pub/Chap155.htm#Sec9-622.htm>

DEFINITIONS*

Agency means a department, board, institution or commission established by statute, not a part of any other department, board, institution or commission, e.g., the Department of Children and Families.

Appointed Official: Serves at the request of the Governor in accordance with the provisions of the C.G.S. Section 4-6. In general, agency heads serve a four-year term that ends no later than the 10th day of March in the final year of their terms, unless reappointed. Appointments must be approved by at least one house of the General Assembly. Deputy agency heads do not have a special term of office and serve at the request of their agency heads, unless otherwise provided by state law.

Appointing authority means a board, commission, officer, commissioner, person or group of persons having the power to make appointments by virtue of a statute or by lawfully delegated authority. Normally, the appointing authority is considered to be the Commissioner or Executive Director of a state agency.

Compensation means the salary, wages, benefits and other forms of valuable consideration earned by and provided to an employee in remuneration for services rendered.

Compensation schedule or compensation plan means a list or lists specifying a series of compensation steps and ranges.

E-Item: Notices from the Office of Policy and Management and the Department of Administrative Services combined that have an economic impact on certain state employees, i.e., salary increases or extension of certain benefits such as Donated Sick Leave.

Executive Orders: Policies dictated by the Governor that do not require legislative approval.

FMLA or Family Medical Leave Act: Enacted by Congress in 1993, this federal law provides eligible employees with job-protected leave for certain family and medical reasons.

FOI or FOI Act: Freedom of Information Act.

*The italicized definitions were taken verbatim from the Connecticut General Statutes. The other definitions were developed by the Statewide Human Resources staff.

MPP or Management Personnel Policy: Part of the Managers' Guide published by the Department of Administrative Services containing Human Resources policies for state managers (e.g., MPP 06-02 Compensatory Time for Employees exempt from Collective Bargaining).

Permanent employee *means an employee holding a position in the classified service under a permanent appointment or an employee holding a position in unclassified service who has served in such a position for a period of more than six months, except employees in positions funded in whole or in part by the federal government as part of any public service employment program, on-the-job training program or work experience program.*

Records Retention: A schedule about how long documents have to be kept that is published by the State Library. <http://www.cslib.org/retstate.htm>

State service *means occupancy of any office or position or employment in the service of the state, but not of local governmental subdivisions thereof, for which compensation is paid.*

Unclassified service *means any office or position in the service of the state which is not in the classified service.*

Contact Information

Questions concerning the information contained within this handbook should be addressed to your Agency Human Resources Office.

Agency Human Resources Professionals may direct questions to Statewide Human Resources Management - HR Business Rules and Central Audit Unit of the Department of Administrative Services:

Director: Pamela.Libby@ct.gov

Program Manager: Shari.Grzyb@ct.gov

HR Consultant: Heather.Tweeddale@ct.gov

